APPENDIX L: RATINGS AND ACTIONS REQUIRED

Provider Monitoring Report - Actions Required For Each Key Element Based on Rating Received

Domain Key Element Worksheet High or Not Rated Low Cutofi Low Rided Low Rided Low Low Rided Low
Augulity Management 1A2 - QM Plan/Activities (Staff Understanding) 3 None REC REC REC Available Rec
Quality ManagementIB1 - QA/QI Activities (Documentation)1NoneRECPOCQuality QualityManagement1C1 - Use of Data for QM (Documentation)1NoneRECPOCQuality1D1 - Use of Incident/Complaint Data for RM (Staff Understanding)3NoneRECRECRECREC1D2 - Use of Incident/Complaint Data for RM (Staff Understanding)3NoneRECRECRECRECRECRECRECRECRECRECRECRECRECRECRECRECRECPOCPOCQuality2A1 - Incident Reporting (Categorization)6NoneRECPOC <td< td=""></td<>
Quality Management 1C1 - Use of Data for QM (Documentation) 1 None REC POC Qualitation 1D1 - Use of Incident/Complaint Data for RM (Documentation) 1 None POC POC-FM Qualitation 1D2 - Use of Incident/Complaint Data for RM (Staff Understanding) 3 None REC RES REC RES REC RE
Management 101 - Use of Data for QM (Documentation) 1 None None
101 - Use of Incident/Complaint Data for RM (Documentation) 1D2 - Use of Incident/Complaint Data for RM (Staff Understanding) 1E1 - Safeguarding Rights (Documentation) 1E1 - Safeguarding Rights (Documentation) 1 None POC POC POC Qualita 2A1 - Incident Reporting (Categorization) 6 None REC POC <75' Protection From 2A2 - Incident Reporting (Notification) 6 None POC POC-FM <75' Response to 2E1 - Timely Submission of Incidents (Documentation) 6 None POC POC-FM <90' Incidents and 2C2 - Response to Incidents (Documentation) 6 None POC POC-FM <90' Incidents and 2C2 - Response to Complaints (Documentation) 6 None POC-FM <90' 251 - POC Submission and Implementation (Documentation) 6 None POC-FM <90' 3A1 - Qualifications/Experience (Documentation) 7 Sal Background Checks (Documentation) 7 Staff 3C2 - Job Description/Understanding (Documentation) 7 Staff 3C2 - Job Description/Understanding (Staff Interview) 7 Sund Supervision (Documentation) 7 Staff 3C2 - Incident Supervision (Documentation) 8 None REC POC REC REC REC REC REC REC REC REC REC RE
1E1 - Safeguarding Rights (Documentation) 1 None POC POC Qualitation 2A1 - Incident Reporting (Categorization) 6 None REC POC <75 Protection From 2A2 - Incident Reporting (Notification) 6 None POC POC POC FM <75 Harm - Provider Response to 2B1 - Timely Submission of Incidents (Documentation) 6 None POC POC <75 Response to Incidents and Complaints 2C2 - Response to Incidents (Staff Interview) 3 None POC POC FM <90 POC FM POC POC
2A1 - Incident Reporting (Categorization) Protection From 2A2 - Incident Reporting (Notification) Harm - Provider 2B1 - Timely Submission of Incidents (Documentation) Response to 2C1 - Response to Incidents (Documentation) Incidents and 2C2 - Response to Incidents (Staff Interview) Complaints 2D1 - Response to Complaints (Documentation) 3A1 - Qualifications/Experience (Documentation) 3A1 - Qualifications/Experience (Documentation) 3A1 - Job Description/Understanding (Documentation) Staff 3C2 - Job Description/Understanding (Staff Interview) 3D1 - Clinical Supervision (Documentation) 2D2 - Response to Complaints (Documentation) 3D3 - Clinical Supervision (Staff Interview) 3D3 - Clinical Supervision (Staff Interview) 3D4 - Clinical Supervision (Staff Interview) 3D5 - Clinical Supervision (Staff Interview) 3D6 - POC - P
Protection From 2A2 - Incident Reporting (Notification) 6 None POC POC-FM 251 - Timely Submission of Incidents (Documentation) 6 None POC POC 251 - Response to Incidents (Documentation) 6 None Incidents and Incidents and Complaints POC POC Submission and Implementation (Documentation) 6 None POC-FM 201 - Response to Complaints (Documentation) 6 None POC-FM 201 - Response to Complaints (Documentation) 7 None POC-FM 201 - Response to Complaints (Documentation) 8 None POC-FM 201 - Response to Complaints (Documentation) 9 None POC-FM 201 - POC Submission and Implementation (Documentation) 9 None POC-FM 201 - POC-
Harm - Provider Response to Incidents (Documentation) 6 None POC
Response to Incidents (Documentation) 6 None POC-FM 900 Incidents and Complaints 2C2 - Response to Incidents (Staff Interview) 3 None POC-FM 900 2D1 - Response to Complaints (Documentation) 6 None POC-FM 900 2E1 - POC Submission and Implementation (Documentation) 6 None POC-FM 900 3A1 - Qualifications/Experience (Documentation) 2 None POC-FM 900 3B1 - Background Checks (Documentation) 2 None POC-FM 900 3C1 - Job Description/Understanding (Documentation) 2 None REC POC 4750 3C2 - Job Description/Understanding (Staff Interview) 3 None REC REC 4750 3D1 - Clinical Supervision (Documentation) 2 None POC POC 4750 3D2 - Clinical Supervision (Staff Interview) 3 None REC POC 4750 3E2 - Individual-Specific Training (Staff Interview) 3 None REC POC 4750 3E2 - Individual-Specific Training (Staff Interview) 3 None REC POC 4750 3E1 - Required Training (Documentation) 2 None POC POC 4750 3E1 - Required Train
Incidents and Complaints 2C2 - Response to Incidents (Staff Interview) 3 None POC-FM Complaints 2D1 - Response to Complaints (Documentation) 6 None POC-FM Complaints 2D1 - Response to Complaints (Documentation) 6 None POC-FM Complaints Complaint
Complaints 2D1 - Response to Complaints (Documentation) 6 None POC-FM <90° 2E1 - POC Submission and Implementation (Documentation) 6 None POC-FM <90° <90°
2E1 - POC Submission and Implementation (Documentation) 3A1 - Qualifications/Experience (Documentation) 3B1 - Background Checks (Documentation) 3C1 - Job Description/Understanding (Documentation) 2 None 3C2 - Job Description/Understanding (Staff Interview) 3 None REC REC 75' Competencies 3D1 - Clinical Supervision (Documentation) 2 None REC REC 75' And Experience 3D2 - Clinical Supervision (Staff Interview) 3 None REC POC 75' 3D2 - Individual-Specific Training (Staff Interview) 3 None REC POC 75' 3F1 - Required Training (Documentation) 2 None POC POC 75' 75' 75' 75' 75' 75' 75' 75
3A1 - Qualifications/Experience (Documentation) 3B1 - Background Checks (Documentation) 3C1 - Job Description/Understanding (Documentation) Staff 3C2 - Job Description/Understanding (Staff Interview) Competencies 3D1 - Clinical Supervision (Documentation) 3D2 - Clinical Supervision (Staff Interview) 3D2 - Clinical Supervision (Staff Interview) 3C3 - Job Description/Understanding (Staff Interview) 3C4 - Job Description/Understanding (Staff Interview) 3C5 - Job Description/Understanding (Staff Interview) 3C6 - Job Description/Understanding (Staff Interview) 3C7 - Job Description/Understanding (Staff
3B1 - Background Checks (Documentation) 2 None REC POC <750 Staff 3C2 - Job Description/Understanding (Documentation) 3 None REC REC <750 Competencies 3D1 - Clinical Supervision (Documentation) 3D2 - Clinical Supervision (Staff Interview) 3D2 - Clinical Supervision (Staff Interview) 3E2 - Individual-Specific Training (Staff Interview) 3F1 - Required Training (Documentation) 2 None REC POC <750
3C1 - Job Description/Understanding (Documentation) Staff 3C2 - Job Description/Understanding (Staff Interview) Competencies 3D1 - Clinical Supervision (Documentation) 3D2 - Clinical Supervision (Staff Interview) 3D2 - Clinical Supervision (Staff Interview) 3D3 - Clinical Supervision (Staff Interview) 3D3 - Clinical Supervision (Staff Interview) 3D3 - Clinical Supervision (Staff Interview) 3D4 - Clinical Supervision (Staff Interview) 3D5 - Clinical Supervision (Staff Interview) 3D6 - Clinical Supervision (Staff Interview) 3D7 - Clinical Supervision (Staff Interview) 3D8 - Clinical Supervision (Staff Interview) 3D9 - Clinical Supervision (Staff I
Staff 3C2 - Job Description/Understanding (Staff Interview) 3 None REC REC <75' Competencies and Experience 3D1 - Clinical Supervision (Documentation) 2 None POC POC <75' and Experience 3D2 - Clinical Supervision (Staff Interview) 3 None REC POC <75' 3E2 - Individual-Specific Training (Staff Interview) 3 None REC POC <75' 3F1 - Required Training (Documentation) 2 None POC POC <75'
Competencies and Experience 3D1 - Clinical Supervision (Documentation) 2 None POC <750 and Experience 3D2 - Clinical Supervision (Staff Interview) 3 None REC POC <750 3E2 - Individual-Specific Training (Staff Interview) 3 None REC POC <750 3F1 - Required Training (Documentation) 2 None POC POC <750 <750 None POC POC None POC POC <750 None POC POC None POC None POC POC None POC POC None POC None POC POC None
and Experience 3D2 - Clinical Supervision (Staff Interview) 3 None REC POC <750 3E2 - Individual-Specific Training (Staff Interview) 3 None REC POC <750 4750 4750 4750 4750 4750 4750 4750 4
3E2 - Individual-Specific Training (Staff Interview) 3 None REC POC <75' 3F1 - Required Training (Documentation) 2 None POC POC <75'
3F1 - Required Training (Documentation) 2 None POC POC <75
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3F2 - Required Training Tracking System (Documentation/Interview) 3 None REC REC <75
4A1 - Introductory PCP (Documentation) 4 None REC REC <75
4B1 - PCP Incorporates Assessment (Documentation) 4 None POC POC <75
Descent Contacted 4C1 - Plan Addresses Individual's Needs (Documentation) 4 None POC POC <75'
Person Centered Planning 4C2 - Plan Addresses Individual's Needs (Interviews) 5 None REC POC <75'
4D1 - Crisis Plan (Documentation) 4 None POC-FM POC-FM <75
4E1 - QP Monitors Implementation & Revises (Documentation) 4 None POC-FM POC-FM <75°
4E2 - QP Monitors Implementation & Revises (Interviews) 5 None POC POC-FM <75
Person Centered 5A1 - Service Implementation (Documentation) 4 None POC-FM POC-FM <75
15A2 - Service Implementation (Interviews) 5 I None POC POC-FM I <75
Services and Supports 5B1 - Coordination of Services (Documentation) 4 None REC POC <75'
5C1 - Need for Changes Communicated (Documentation) 4 None POC POC-FM <75°
6A1 - Informed of Complaints Process (Interviews) 5 None POC POC-FM <75
6B1 - Informed of Rights (Documentation) 4 None POC-FM POC-FM <75
Individual Rights 6B2 - Informed of Rights (Interviews) 5 None POC POC-FM <75
Individual Rights 6C1 - Funds/Possessions (Documentation) 4 None POC-FM <90
6C2 - Funds/Possessions (Interviews) 5 None POC-FM <90
6D1 - Restrictive Interventions (Documentation) 4 None POC-FM POC-FM <75

REC	Recommendation For Improvement
POC	Plan of Correction
POC-FM	Plan of Correction with Focused Monitoring